

FINANCIAL DISCLOSURE REPORT FINAL FILING

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Fogel, Jeremy D.	2. Court or Organization Federal Judicial Center	3. Date of Report 10/29/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 09/14/2018
7. Chambers or Office Address Federal Judicial Center One Columbus Circle N.E. Washington, DC 20002-8003		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 09/30/81	California Judicial Retirement System: entitled to receive approximately 61% of the current salary of a California Superior Court Judge
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2018	Caslorfornia Judicial Retirement System (payments received through end of final reporting period)	\$75,486.64
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Regional Dialogue	February 4-12	Tashkent, Uzbekistan	Legal exchange with Uzbek judiciary	Transportation, meals and lodging
2. Berkeley Law School, University of California	February 17-22	Berkeley, California	Meetings with faculty and administration	Transportation and lodging
3. Institute for the Advancement of the American Legal System	February 28-March 2	Colorado Springs, Colorado	Meeting of working group on judicial discipline	Transportation, meals and lodging
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Morgan Stanley	Liquid Access Line of Credit	M
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Morgan Stanley brokerage account (assets listed below)									
2. --Vanguard Financials ETF	A	Dividend	K	T	Sold (part)	06/26/18	J	A	
3. --Vanguard Small Cap ETF	A	Dividend	K	T	Sold (part)	03/02/18	J	A	
4.					Sold (part)	06/26/18	J	A	
5. --Vanguard Mid-Cap ETF	B	Dividend	L	T					
6. --iShares S&P 500 Growth ETF	B	Dividend	M	T	Sold (part)	03/02/18	J	A	
7.					Sold (part)	06/26/18	J	A	
8. --iShares S&P 500 Value ETF	C	Dividend	L	T	Sold (part)	03/02/18	J	A	
9. --iShares Select Dividend ETF	A	Dividend	K	T					
10. --Vanguard FTSE Developed Mkts E	B	Dividend	L	T	Sold (part)	03/02/18	J	A	
11.					Sold (part)	06/26/18	J	A	
12. --iSharesNat Amt-Free Mun Bd ETF	A	Dividend	K	T					
13. --iShares Interim Credit Bd ETF	B	Dividend			Buy (add'l)	03/02/18	J		
14.					Buy (add'l)	06/26/18	J		
15.					Sold	06/29/18	L	B	
16. --E V ADV Floating Rate	B	Dividend	L	T	Buy (add'l)	03/02/18	J		
17.					Buy (add'l)	06/26/18	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. --Morgan Stanley Bank	A	Interest	L	T					
19. --DC College Savings 2031 Portfolio	A	Dividend	K	T					
20. --Energy Sel Sect Spdr Bd	A	Dividend	K	T	Buy (add'l)	03/02/18	J		
21.					Buy (add'l)	06/26/18	J		
22. --iShares Core MSCI Emerging	A	Dividend	K	T	Buy (add'l)	03/02/18	J		
23.					Buy (add'l)	06/26/18	J		
24. --Delaware Natl Hi Yld Muni Bd I	B	Dividend	L	T					
25. --First Tr Exchange Traded Fd VI	A	Dividend	K	T	Sold (part)	03/02/18	J	A	
26.					Sold (part)	06/26/18	J	A	
27. --Vanguard FTSE Emerging Markets	A	Dividend	J	T	Buy	03/02/18	J		
28.					Buy (add'l)	06/26/18	J		
29. --iShares Tips Bond ETF	A	Dividend	J	T	Buy	03/02/18	J		
30.					Buy (add'l)	06/29/18	K		
31. --Vanguard Short-Term Corporate	A	Dividend	J	T	Buy	03/02/18	J		
32.					Buy (add'l)	06/26/18	J		
33. --Federated Muni Obligation WS	A	Dividend	M	T	Buy	04/13/18	M		
34.					Sold (part)	05/14/18	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35.					Sold (part)	06/27/18	J	A	
36.					Sold (part)	07/30/18	K	A	
37.					Sold (part)	09/05/18	K	A	
38. Morgan Stanley IRA#1 (assets listed below)									
39. --Morgan Stanley Bank	A	Interest	J	T					
40. --Vanguard Financials ETF	A	Dividend	J	T	Sold (part)	03/02/18	J	A	
41. --Vanguard Small Cap ETF	A	Dividend	J	T					
42. --Vanguard Mid-Cap ETF	A	Dividend	J	T					
43. --iShares S&P 500 Growth ETF	A	Dividend			Sold	03/02/18	J	A	
44. --iShares S&P Value ETF	A	Dividend			Sold	03/02/18	J	A	
45. --Vanguard FTSE Emerging Markets	A	Dividend			Sold	03/02/18	J	A	
46. --iShares Interim Credit Bd ETF	A	Dividend	J	T	Buy (add'l)	03/02/18	J		
47. --Spdr Barclays Capital High Yield	A	Dividend			Sold	03/02/18	J	A	
48. --E V Adv Floating Rate	A	Dividend	J	T	Buy (add'l)	03/02/18	J		
49. --Industrial Sel Sec Spdr Rd	A	Dividend	J	T	Sold (part)	03/02/18	J	A	
50. --First Tr Exchange Traded Fd VI	A	Dividend			Sold	03/02/18	J	A	
51. --First Trust Hlth Care Alpha ETF	A	Dividend			Sold	03/02/18	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. --iShares Tips Bond ETF	A	Dividend	J	T	Buy (add'l)	03/02/18	J		
53. --Energy Sel Sect Sprdr Fd	A	Dividend	J	T	Buy	03/02/18	J		
54. --Vanguard FTSE Developed Mkts E	A	Dividend	J	T	Buy	03/02/18	J		
55. --Vanguard Short-Term Corporate	A	Dividend	J	T	Buy	03/02/18	J		
56. --iShares Core MSCI Emerging	A	Dividend	J	T	Buy	03/02/18	J		
57. Morgan Stanley IRA #2 (assets listed below)									
58. --Morgan Stanley Bank	A	Interest	J	T					
59. --Vanguard Financials ETF	A	Dividend	J	T	Sold (part)	06/26/18	J	A	
60. --Vanguard Small Cap ETF	A	Dividend	J	T	Sold (part)	06/26/18	J	A	
61. --Vanguard Mid-Cap ETF Index	A	Dividend	J	T					
62. --iShares S&P 500 Growth ETF	A	Dividend			Sold	06/26/18	J	A	
63. --iShares S&P Value ETF	A	Dividend			Sold	06/26/18	J	A	
64. --iShares Dividend Select ETF	A	Dividend	J	T					
65. --Vanguard FTSE Developed Mkts E	A	Dividend	J	T	Buy (add'l)	06/26/18	J		
66. --Vanguard FTSE Emerging Mkts	A	Dividend			Sold	06/26/18	J	A	
67. --iShares Interim Credit Bd ETF	A	Dividend	J	T	Buy (add'l)	06/26/18	J		
68. --Spdr Barclays High Yield	A	Dividend			Sold	06/26/18	J	A	

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69. --First Tr Exchange Traded Fd VI	A	Dividend			Sold	06/26/18	J	A	
70. --First Trst Hlth Care Alpha ETF	A	Dividend			Sold	06/26/18	J	A	
71. --Industrial Sel Sec Spdr Fd	A	Dividend			Sold	06/26/18	J	A	
72. --iShares Tips Bond ETF	A	Dividend	J	T	Buy	06/26/18	J		
73. --Energy Sel Sect Spdr Fd	A	Dividend	J	T	Buy	06/26/18	J		
74. --Vanguard Short-Term Corporate	A	Dividend	J	T	Buy	06/26/18	J		
75. --iShares Core MSCI Emerging	A	Dividend	J	T	Buy	06/26/18	J		
76. --E V Adv Floating Rate	A	Dividend	J	T	Buy	06/26/18	J		
77. Trsut #1 (assets listed below)									
78. --Doubleline Fds Total Return Bd Fd	C	Dividend	N	T					
79. --Pioneer Ser Tr VI Fltg Rate Fd	C	Dividend	N	T					
80. --Templeton Income Tr Global Bd FD	C	Dividend	N	T					
81. --Intel Corp.		None	K	T					
82. --Potash Corp. of Saskatchewan		None	K	T					
83. --Realty Income REIT		None	K	T					
84. --Teradata Corp.		None	K	T					
85. --Transocean Ltd. Ordinary Shares		None	K	T					

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86. Pointright Holdings, Inc.		None	J	U					
87. Undeveloped lot--Placer County, CA		None	M	W					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Jeremy D. Fogel**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544